

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

112743-223

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/856399INTERNATIONAL APPLICATION NO.
PCT/DE99/03698INTERNATIONAL FILING DATE
19 November 1999PRIORITY DATE CLAIMED
19 November 1998

TITLE OF INVENTION

METHOD, BASE STATION AND SUBSCRIBER STATION FOR CHANNEL CODING IN A GSM MOBILE RADIO SYSTEM

APPLICANT(S) FOR DO/EO/US

Joachim Hagenauer et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☒ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☒ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Submission of Drawings - Figure 1-6 on five sheets

U.S. APPLICATION NO. (IF KNOWN) 37 CFR 09/856399	INTERNATIONAL APPLICATION NO. PCT/DE99/03698	ATTORNEY'S DOCKET NUMBER 112740-223
--	--	---

21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO **\$1,000.00**
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO **\$860.00**
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$710.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$690.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =**\$860.00**Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).**\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	19 - 20 =	0	x \$18.00	\$0.00	
Independent claims	3 - 3 =	0	x \$80.00	\$0.00	
<input checked="" type="checkbox"/> Multiple Dependent Claims (check if applicable).				\$0.00	

TOTAL OF ABOVE CALCULATIONS =**\$860.00**Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). ☐**\$0.00****SUBTOTAL =****\$860.00**Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).**\$0.00****TOTAL NATIONAL FEE =****\$860.00**Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). ☐**\$0.00****TOTAL FEES ENCLOSED =****\$860.00**

Amount to be refunded	\$
charged	\$

- ☒ A check in the amount of **\$860.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **02-1818** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

William E. Vaughan (Reg. No. 39,056)
Bell, Boyd & Lloyd LLC
P.O. Box 1135
Chicago, Illinois 60690

SIGNATURE

William E. Vaughan

NAME

39, 056

REGISTRATION NUMBER

May 21, 2001

DATE

09/856399

Rec'd PCT/PTO 21 MAY 2001

CERTIFICATE OF MAILING "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Joachim Hagenauer et al.

Docket No.:

112740-223

Serial No.

Filing Date

Examiner

Group Art Unit

Invention: **METHOD, BASE STATION AND SUBSCRIBER STATION FOR CHANNEL CODING IN A GSM MOBILE RADIO SYSTEM**

I hereby certify that the following correspondence:

Transmittal letter to the United States Designated/Elected Office, International applications as filed, amended pages, English translation, amended pages, IDS, PTO 1449, references, search report, Preliminary Amendment and Substitute Specification, Submission of Drawings, Figs. 1-6 on five sheets, filing fee \$860.00, postcard

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

May 19, 2001*(Date)*
Robert Buccieri*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*

EL572436173US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

BOX PCT

IN THE UNITED STATES ELECTED/DESIGNATED OFFICE
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY-CHAPTER I

5

APPLICANTS: Joachim Hagenauer et al. DOCKET NO: 112740-23

SERIAL NO: GROUP ART UNIT:

EXAMINER:

10 INTERNATIONAL APPLICATION NO: PCT/DE99/03698

INTERNATIONAL FILING DATE: 19 November 1999

INVENTION: METHOD, BASE STATION AND SUBSCRIBER STATION
FOR CHANNEL CODING IN A GSM MOBILE RADIO
SYSTEM

15

Assistant Commissioner for Patents,
Washington, D.C. 20231SUBMISSION OF DRAWINGS

20

Applicants herewith submit five sheets (Figs. 1-6) of drawings for the
above-referenced PCT application.

Respectfully submitted,

25



(Reg. No. 39,056)

William E. Vaughan
Bell, Boyd & Lloyd LLC
P.O. Box 1135
Chicago, Illinois 60690-1135
(312) 807-4292
Attorneys for Applicants

30